

3 FAM 2600 CLASSIFICATION AND PAY ADMINISTRATION

3 FAM 2610 POSITION MANAGEMENT

(TL:PER-408; 07-18-2001)

3 FAM 2611 GENERAL

(TL:PER-250; 4-10-1995)

(State Only)

(Applies to Foreign Service & Civil Service Employees)

Federal agencies are required to manage positions efficiently. A good position management program should achieve the stated objectives and at the same time be a useful management tool. These regulations are applicable to positions in both the Foreign Service and Civil Service in the Department.

3 FAM 2612 AUTHORITY

(TL:PER-380; 03-02-2000)

(State Only)

(Applies to Foreign Service & Civil Service Employees)

The authority is found under:

- (1) 5 U.S.C. sections 302, 305, 3404, 5102, 5105, 5113, and 7106;
and
- (2) Section 501 of the Foreign Service Act (22 U.S.C. 3981).

3 FAM 2613 PURPOSES

(TL:PER-380; 03-02-2000)

(State Only)

(Applies to Foreign Service & Civil Service Employees)

a. This regulation establishes the policies and assignment of responsibilities for the Department's Position Management System, which is designed to ensure that positions are structured and staffed in the most economic manner consistent with effective mission accomplishment. It also underscores the need for coordination between operating managers, person-

nel staffs, management operations staffs, and budget staffs in position management implementation.

b. This regulation prescribes general guidelines governing the position management system and should be used in conjunction with appropriate *Foreign Affairs Manual* issuances and other cited guidelines.

3 FAM 2614 POLICY

(TL:PER-408; 07-18-2001)

(State Only)

(Applies to Foreign Service & Civil Service Employees)

a. Organization heads must manage organization and position structures *like they would* monetary resources.

b. Organization heads must observe all position and full-time equivalent (FTE) employment ceilings.

c. Positions should be carefully planned and staffed to make the most effective use of human resources at the lowest practical expenditure to accomplish assigned missions.

d. Organizations should operate with the minimum number of organizational levels, with emphasis on delegation of authority to the lowest appropriate working levels.

e. Organizations should minimize the number of deputy, assistant, and special assistant positions.

f. Appropriate personnel staffs should properly develop and classify positions in accordance with published classification standards or guides or with established classification principles and guidelines.

3 FAM 2615 RESPONSIBILITIES

3 FAM 2615.1 The Secretary of State

(TL:PER-408; 07-18-2001)

(State Only)

(Applies to Foreign Service & Civil Service Employees)

Retains sole authority for determining, approving, and forwarding any changes that abolish organizations or eliminate functions that are mandated by law or Executive Order.

3 FAM 2615.2 Under Secretary for Management

(TL:PER-408; 07-18-2001)

(State Only)

(Applies to Foreign Service & Civil Service Employees)

Approves all organizational changes, including changes in functional statements, at the deputy assistant secretary level or higher unless such changes involve an organization or function that is legislatively or otherwise mandated by higher authority.

3 FAM 2615.3 Assistant Secretary or Equivalents

(TL:PER-408; 07-18-2001)

(State Only)

(Applies to Foreign Service & Civil Service Employees)

Approves organizational changes affecting organizations within his or her respective bureau provided these changes do not impact on delegations of authority or violate approved organization criteria.

3 FAM 2615.4 Office of Civil Service Personnel Management (HR/CSP)

(TL:PER-408; 07-18-2001)

(State Only)

(Applies to Foreign Service & Civil Service Employees)

- a. Administers the Department's domestic classification program.
- b. Reviews organization proposals before final approval to determine potential classification impact and for overall impact on position management strategies.
- c. Establishes individual positions, titles, series, and grades in accordance with approved and authorized functions.
- d. Classifies all **(except where bureau classification delegations exist)** domestic U.S. Foreign Service (FS) (U.S. citizens employed in the FS) and Civil Service (CS) positions independent of any reorganization activity.

3 FAM 2615.5 The Office of Resource Management and Organization Analysis (HR/RMA)

(TL:PER-408; 07-18-2001)

(State Only)

(Applies to Foreign Service & Civil Service Employees)

a. Manages the Department's program for organizational review and approval process. Provides advice and guidance to operating components which conduct organizational and workload studies. Establishes and maintains the Department's organizational and position management policies and procedures as outlined in this subchapter and in 1 FAM 014.

b. Administers the Department's U.S. Foreign Service classification program abroad.

c. Establishes individual U.S. Foreign Service positions abroad in accordance with approved and authorized functions.

d. Reviews organization proposals abroad before final approval to determine potential classification impact and for overall impact on position management strategies.

e. Establishes and/or deletes U.S. Foreign Service skill codes and definitions (see 3 FAM 2624.5).

f. Classifies all U.S. Foreign Service positions abroad independent of any organization activity.

3 FAM 2615.6 Executive Directors

(TL:PER-408; 07-18-2001)

(State Only)

(Applies to Foreign Service & Civil Service Employees)

a. Plan and implement staffing management policies for their respective organizations.

b. Evaluate position and FTE requirements of their organizations against mission and functional statements.

c. Prepare and forward to *HR* all personnel actions **(not covered under bureau(s) delegated authority)**. *Prepare and process all personnel actions under the bureau(s) delegated authority.*

d. Distribute and monitor positions and FTE usage within the organization ensuring that employment ceilings are not violated.

3 FAM 2615.7 Managers and Supervisors

(TL:PER-380; 03-02-2000)

(State Only)

(Applies to Foreign Service & Civil Service Employees)

- a. Have the most critical role in the position management program.
- b. Are responsible for ensuring that their organizations operate in conformance with this regulation and with the provisions of 1 FAM 014, and for taking corrective action when position management and classification surveys indicate a need for improvement.

3 FAM 2616 DEFINITIONS

(TL:PER-380; 03-02-2000)

(State Only)

(Applies to Foreign Service & Civil Service Employees)

- a. **“Assistant to”** or **“special assistant”** positions provide staff assistance to the principal position rather than participate with the principal in the direct management and supervision of the work of the organization.
- b. **“Deputy”** or **“assistant”** positions are those positions second in the line of command, which share fully with the principal in carrying out all phases of the work of the organization, and act with full responsibility and authority for the work. The distinction between deputy and assistant is merely a titling practice and has no classification significance.
- c. **“Organization heads”** are the heads of all Departmental bureaus, offices, and operating units who are vested with the authority to make decisions affecting the organization.
- d. **“Organization structure”** is the assignment of functions and activities to a group of organizational components charged with a specific mission.
- e. **“Position”** is the specified set of all duties and responsibilities currently assigned or delegated by competent authority and requiring full-time, part-time, or intermittent employment of one person.
- f. **“Position description (PD)”** means the official written description of management’s assignment of duties, responsibilities, and supervisory relationships to a position. Groups of like positions (identical or additional positions) may be covered by a single position description.

g. “**Position management**” means the planned structuring of the numbers, kinds, and levels of positions to accomplish mission objectives, within the framework of FTE ceilings and budget resources allotted to approved organizations.

h. “**Position structure**” is the arrangement and assignment of duties and responsibilities and the resultant classification of positions by series and grade within an organization.

3 FAM 2617 RELATIONSHIP OF POSITION MANAGEMENT TO OTHER DEPARTMENTAL MANAGEMENT SYSTEMS

(TL:PER-408; 07-18-2001)

(State Only)

(Applies to Foreign Service & Civil Service Employees)

The provisions of this directive may be applied to or integrated with other Departmental management systems, which are designed to manage and control Departmental resources. Organization and management studies, as appropriate, and personnel management reviews, in particular, will include an assessment of the effectiveness of the position management program within specific organizational units. Nonconformance will be brought to the attention of appropriate officials.

(1) **Organizational Planning and Control.** A fundamental element in position management is the development and maintenance of an organization structure designed to promote the effective accomplishment of program objectives. The factors that should be considered in the development of organization structures are contained *in 1 FAM 014, Organization Control, Policies, and Functional Statements.*

(2) **Position or FTE Allocation.** Agency heads are required to ensure strict observance of employment ceilings. The allocation of FTE and associated positions to the bureaus is a dynamic process whose complexity is compounded by the separation of FTE authority from associated funding. The major factors affecting the allocation of FTE are availability of resources and the priorities for FTE distribution within the Department.

(3) **Internal Control.** Office of Management and Budget (OMB) Circular A-123 requires that all Departmental operations incorporate effective systems of internal control to eliminate the possibility of waste, fraud, abuse, or mismanagement. This requirement includes adequate administrative, financial, and management controls of all physical and human resources over which the Department has jurisdiction. The position management program, which is a human resource management program, clearly falls within this requirement. The Bureau of *Resource Management (RM)* has responsibility for the Department's internal control program.

3 FAM 2618 ADMINISTRATION OF THE POSITION MANAGEMENT PROGRAM

(TL:PER-408; 07-18-2001)

(State Only)

(Applies to Foreign Service & Civil Service Employees)

Position management is greatly dependent on the skill and judgment of managers and supervisors. The core of any position management program is the performance by managers and supervisors of their inherent position management responsibilities, using the supplementary skills and expertise provided by personnel and management staffs. The program is a continuing process of evaluation wherein the work structures and staffing patterns are systematically assessed for improvement, for correct classification of positions, and for the most productive employment of individuals.

(1) **Position Management Coordinators.** Each bureau will designate an individual or senior position to serve as position management coordinator (PMC). PMCs shall oversee position management efforts within the bureau. In particular, PMCs shall:

(a) Place primary emphasis on the restraint of grade escalation, the elimination of duplicative work efforts or under-utilization of personnel, and the reduction of personnel cost;

(b) Participate in position management planning on a regular basis with personnel, management analysis staffs, and budget staffs as well as with line managers and supervisors within the bureau; and

(c) Participate with personnel and management analysis staffs in a coordinated program review and evaluation of the organization's position management program to ensure that program policies are carried out, objectives are achieved, deficiencies are discovered and highlighted, and corrective actions where indicated are taken.

(2) **Establishment of New Positions.** Prior to the Office of Civil Service Personnel Management's (HR/CSP), the Office of Resource Management (HR/RMA), and/or a bureau's (with delegated classification authority) establishment of any new position, the PMC shall ensure that the following actions are carried out:

(a) The existing position structure shall be reviewed to ensure that any proposed duties do not conflict with or duplicate responsibilities already assigned;

(b) The grade structure of the organizational components involved shall be reviewed to ensure that the proposed grade does not set an indefensible precedent, and that it fits logically within the existing structure;

(c) The possibility of incorporating the duties of the proposed position into existing positions shall be explored with the requesting officials; and

(d) Formal classification determinations involving new positions that are established by a new organization structure shall be made only after the organization has been approved officially in accordance with the provisions of 1 FAM 014.

(3) **Vacancy Reviews.** When a Civil Service position becomes vacant, the PMC shall review with the line supervisor and with *HR/CSP* the continuing need for the position, the appropriateness of the position description, and its classification.

HR/CSP shall reassess the position to ensure that the factors affecting the original classification determination are still valid. Corrective classification action, where indicated, shall be taken before recruiting to fill the vacancy.

(a) **Deputy and Assistant Positions.** The most frequent legitimate use of a deputy or assistant position occurs when there is an unusual span of control situation (e.g., a full 24-hour operation, or a very large ratio of nonsupervisory to supervisory personnel). All too often, however, such positions are created as a means to generate promotion opportunities for certain employees or to give enhanced status that is not supportable in light of mission need.

The need for an assistant or deputy position must be carefully evaluated and kept to a minimum essential number. Unless there is a demonstrated need for deputy and assistant positions, such positions tend to confuse lines of communications and leadership authority, prevent maximum delegation of authority and responsibility, add unnecessarily to the number of organizational echelons or administrative levels, impede day-to-day operations and increase costs.

As a general rule, deputy assistant secretary (DAS) positions are not considered deputies within the definitions used in this directive. Such positions normally are established within bureaus, which have more than one, major function and which are an organization of substantial size or complexity. The DAS position (or position ranked as administratively equivalent) usually oversees one or more of the major functions within the bureau.

Deputy or full assistant positions **will not** be approved for **divisions, branches, or sections.**

Form DS-3051, Checklist for Requesting Establishment of Deputy or Assistant Positions, should be completed and attached to all requests to establish such positions. See 3 FAM 2618 Exhibit 2618.

(b) **Assistant to and Special Assistant Positions.** These positions may be concerned with restricted aspects of the principal's overall responsibility, or with all areas. In the latter case, such positions may be difficult to distinguish from deputy or a full assistant position and lead to staff-line conflicts.

To the extent possible, functions performed by assistants to, and special assistants should be assigned to the line organization. *Consistent with 1 FAM 014.5, paragraph c, HR/RMA establishes, maintains, and communicates criteria for the establishment of deputy and/or assistant, and special assistant positions. HR/CSP, in accordance with U.S. OPM guidelines, establishes, maintains, and communicates criteria for the classification of such positions.*

(4) **Organization Studies and Review.** Periodically and/or upon request, *HR/CSP* and *HR/RMA* jointly will conduct comprehensive organization reviews of the operating components to achieve the objectives of the position management program. Reports generated as a result of these reviews will provide advice and guidance to management officials on organization structures, functional assignments, proper position structuring, development of career ladders, and ways to improve services and productivity.

(5) **Position and FTE Allocation.** Position and FTE allocation are the responsibility of *HR/RMA's* Resource Planning and Allocation Division and are based on budget considerations. Annual allocations are the product of FMP's Office of Budget and Planning and the Resource Planning and Allocation Division's extensive review of bureaus' budget requests and detailed justifications. Off-cycle adjustments are made quarterly based on FTE consumption, requests from the bureaus, and *HR/RMA* review of the regular financial plan.

3 FAM 2619 UNASSIGNED

3 FAM 2618 EXHIBIT 2618 FORM DS-3051

(TL:PER-408; 07-18-2001)



U.S. Department of State

CHECKLIST FOR REQUESTING ESTABLISHMENT OF DEPUTY/ASSISTANT POSITIONS

- *Officials requesting the establishment of Deputy/Assistant positions should be thoroughly familiar with guidelines contained in 1 FAM 014, Organization Control, Policies, and Functional Statements, and 3 FAM 2600, Classification and Pay Administration.
- **This checklist is provided to assist requesting officials in considering position management issues associated with the establishment of such positions, and should be attached to all requests to establish such positions.

_____ Title of Supervisor's Position _____ Series of Supervisor's Position _____ Grade of Supervisor's Position

_____ Organization Title of Supervisor's Position (if different)

_____ Requested Title of Deputy/Assistant Position _____ Series of Deputy/Assistant Position _____ Grade of Deputy/Assistant Position
Location of Position: (check one)

- | | |
|--|--|
| <input type="checkbox"/> Office Director
<input type="checkbox"/> Staff Office
<input type="checkbox"/> Division Chief | <input type="checkbox"/> Branch Chief
<input type="checkbox"/> Other Unit Chief
(Name of Unit _____) |
|--|--|

*Reference 1 FAM 014.6c(2) - "Typically there is little justification for establishing Deputy/Assistant positions to Deputy Assistant Secretaries, Managing Directors, division chiefs, branch chiefs, section chiefs, or staff chiefs."

Organization Structure:

Attach an Organization Chart or a list of all subordinate offices that report to the requested Deputy/Assistant Chief position and its Supervisor. For each subordinate office, the chart or list should identify: the office name, organization code, and the full performance level title, series and grade for each established position in the organization.

For the requested position, please list:

Percent of time performing Deputy/Assistant Duties _____ %

Percent of time performing non-Deputy/Assistant Duties _____ %

Total Duties: _____ 100 _____ %

_____ Name of Supervisor of the Requested Position

_____ Title of Supervisor of the Requested Position _____ Date (mm-dd-yyyy)

DS-3051
06-2001